



DEPARTMENT OF FINANCE AND
ADMINISTRATION

**CAREER LADDER INCENTIVE PROGRAM
(CLIP)**

CLIP REVIEW & PERFORMANCE EVALUATION
REQUIREMENTS

Revised for

2006 – 2007

DEPARTMENT OF FINANCE AND ADMINISTRATION PROGRAM PLAN

ATTACHMENT A

DEPARTMENT OF FINANCE AND ADMINISTRATION
CAREER LADDER INCENTIVE PROGRAM
PLAN FY 2006 – 2007

PURPOSE

Act 1061 of 1999 and Act 22 of 2003 authorized the Department of Finance and Administration to develop, implement and monitor the Career Ladder Incentive Program for the state of Arkansas. It is the intent of the DFA Administration that CLIP be used to reward employees who go “above and beyond” the standard expectations for their positions and to provide incentive for employees to excel and advance in their skills and performance. The Career Ladder Incentive Program, (CLIP), is a competency-based program developed as a means to measure and reward employee performance through bonuses and promotions.

The CLIP program has two main components, 1) the performance evaluation (PE) and 2) the additional CLIP criteria. The additional CLIP criteria will vary depending upon whether the position has been set up for promotion or bonus. The criteria for bonus eligibility include conduct, PE, and one of three other criteria, training, director approved projects, or supplemental requirements. The criteria for promotion eligibility include PE, conduct, education, experience and may include certification, training, director approved projects or supplemental requirements.

A. CLIP TERMS AND DEFINITIONS

- 1) **Career Ladder Series:** A grouping of similar job classifications identified and designated by the Office of Personnel Management with increasing levels of experience, knowledge, ability, skill and related job criteria. A Career Ladder series is used to determine CLIP promotional paths and establish promotional eligibility. The Career Ladder series utilized by DFA are identified in Attachment C.
- 2) **Career Ladder Promotion:** A change in the duty assignment of an employee from one position in a career ladder series to another position within the same career ladder series of a higher salary grade with increased duties, responsibilities, experience, and education. Normally, promotion in a CLIP ladder will be to the next level listed in the ladder. For a minor promotion, which is one grade higher than the former classification, the employee’s maximum rate of pay will be increased by six (6%) percent. For a major promotion, which is two or more grades higher than the former classification, the employee’s maximum rate of pay will be increased by eight (8%) percent. An incumbent may receive only one career ladder promotion per fiscal year. DFA may choose to effect promotions at any time throughout the fiscal year that the criteria are met. DFA considers promotions to be salary adjustments.
Career Ladder Incentive Payment (Bonus): A lump-sum bonus payment between zero and eight percent (0-8%) which may be paid to an incumbent who has successfully completed all necessary competency-based criteria and receives a performance evaluation rating of “Exceeds” or “Above Average”. These payments will be at the determination of the Chief Fiscal Officer of the State and are dependent on availability of funds. Bonus payments will not be construed as exceeding the employee’s maximum allowable annual salary. Bonus payments will not be added to the employee’s base pay for retirement credit purposes nor for the calculation of any other salary adjustment. **An incumbent may receive only one CLIP bonus payment or CLIP promotion in any fiscal year.**

- 3) **CLIP 1 (CLIP Promotion):** Covers classified employees within an established Career Ladder series who may be promoted to the next higher level within the series once competency-based criteria have been satisfied. Based upon staffing needs, DFA is not obligated to promote an incumbent who meets competency-based criteria, but may instead consider awarding the incumbent a bonus payment. Employees within a career ladder series who meet competency-based criteria but are not eligible for a promotion, or employees who reach the top classification within a career ladder series, may be eligible for lump-sum bonus payments. Employees must be in a pay status to receive a promotion. Employees who are on Military Leave, LWOP and FMLL who have met all required criteria will be delayed beyond the date of eligibility for the same number of days the employee was on leave. The employee must have at least nine (9) months of work performance within the rating period to be eligible. The timekeeper and supervisor should notify the CLIP liaison when the employee returns to pay status. These payments will be in accordance with the Uniform Classification and Compensation Act and are dependent on the availability of funds. **(See Attachment C)**
- CLIP 2 (CLIP Bonus):** Covers classified employees in managerial, supervisory, and miscellaneous classifications who may receive lump-sum bonus payments between zero and eight percent (0-8%) after successfully completing competency-based criteria. Employees must be in a pay status to receive a bonus. Those employees who are on Military Leave, LWOP and FMLL who have met all required criteria will be delayed beyond the date of eligibility for the same number of days the employee was on leave. The employee must have at least nine (9) months of work performance within the rating period to be eligible. The timekeeper and supervisor should notify the CLIP liaison when the employee returns to pay status. These payments will be determined by the State's Chief Fiscal Officer and will depend on the availability of funds. **(See Attachment E)**
- 4) **CLIP Eligibility Date:** the date that determines the fiscal year in which the CLIP promotion or bonus may occur.
- 5) **CLIP Plan:** Comprehensive plan developed by each agency for establishing the Career Ladder Incentive Program submitted to the Office of Personnel Management for review and the Arkansas Legislative Council for approval.
- 6) **CLIP Position:** One of a number of positions budgeted and authorized by the Legislature at various levels within a Career Ladder series for the purpose of promoting incumbent employees upon fulfillment of all necessary criteria. DFA may choose to utilize these positions for bonus eligibility as appropriate.
- 7) **Competency-Based Criteria:** Job-related requirements which must be successfully completed by employees for promotion or bonus eligibility. These requirements include, but are not limited to, meeting experience requirements, attaining specialized certification, participating in successful projects, completing job-related training, demonstrating job performance at an appropriate level, and exhibiting appropriate conduct. DFA will evaluate employees utilizing competency-based criteria and certify that such criteria has been established, applied, and met during the referenced CLIP review period before implementing promotions or bonus payments. DFA may supplement the job-related requirements specified herein after approval by the Office of Personnel Management and the Arkansas Legislative Council. **(See Attachments C and E)**
- 8) **Competency-Based Pay System:** An incentive-based pay system which includes pay for performance principles and incorporates job-related criteria which must be met before an employee receives a career ladder promotion or bonus payment.
- 9) **Employee:** A person who is employed in a regular salary position by DFA, either on a full-time or part-time basis. Part-time employees will be eligible for bonuses based upon the percentage of time worked.
- 10) **Salary Savings:** Funds accumulated as savings to fund Career Ladder promotions and bonus payments when regular salary positions remain vacant due to normal attrition (terminations and retirements) and job duties are either redistributed or vacant positions are refilled at lower salary rates than those of previous incumbents.
- 11) **Performance Evaluation System:** System of monitoring an employee's performance of job duties and comparing that performance against pre-established standards of satisfactory performance.

DFA elects to utilize the standards-based performance evaluation process that has been in use (with minor changes) since 1997.

- 12) Uniform Conduct Standards:** DFA elects to utilize its current disciplinary procedures and guidelines as part of the Career Ladder Incentive Program. Individual offices may include conduct standards specific to their offices, with prior approval from DFA Human Resources. These may be modified as necessary, but are subject to review and approval by the Office of Personnel Management prior to use for CLIP purposes. Employees who exhibit unsatisfactory conduct will be ineligible for a CLIP promotion or bonus payment. Unsatisfactory conduct is defined as any disciplinary action equal to or greater than a written action. Counseling and verbal disciplinary actions, while documented in writing, are not unsatisfactory conduct for the purposes of the CLIP criteria. **(See Attachment F for DFA Conduct and Disciplinary Standards)**
- 13) CLIP Review Period:** A standard 12-month period during which the employee strives to attain specified criteria. CLIP dates will remain the same for a lateral transfer in which no change in job duties occurs. An employee's CLIP review dates will change in the event of a competitive, in-position or CLIP promotion, demotion, or a lateral transfer in which the job duties change. This action should be documented in the employee's CLIP file.

DFA CLIP OVERVIEW

The CLIP review is a 12-month period in which employee achievement is measured against the criteria established at the beginning of the period. Employees will establish a CLIP rating period based upon his/her starting date in the current position. Designated CLIP promotions are effective on the eligibility date for the rating period. CLIP rating periods will change due to a promotion (CLIP, in-position or competitive), demotion (voluntary or involuntary) or lateral transfer with a change in job duties. In the instance that an employee receives a "competitive lateral", the CLIP review dates will change. A "competitive lateral" is when an employee applies for and accepts a new position with the same pay grade, usually with a change in job duties. Lateral transfers without a change in job duties are referred to as "administrative transfers" and do not require a change in CLIP review dates. The supervisor (rater) should document this action with the CLIP package upon submission to DFA HR or the DFA CLIP Coordinator. If an employee receives a promotion, demotion or lateral transfer with job duty changes causing the CLIP review dates to change, the employee forfeits CLIP promotion or bonus eligibility for the previous position.

At the beginning of the rating period, CLIP criteria must be established. Criteria may be established for both a promotion and a bonus; however, only one option will be awarded. The criteria are used to establish the expectations for each employee's job and to establish a basis for regular communication between the supervisor and the employee regarding those expectations and the employee's performance. Frequent meetings between the supervisor and the employee are recommended during the period. However, at least 30 days prior to the end of the twelve (12) months, a formal evaluation must take place. At that time the employee's accomplishments and performance will be rated. Based on this rating the employee **may be eligible** for a promotion if the position is part of a job series and the position is authorized at a higher level in that series. However, most positions are not eligible for promotion. In those positions, employees will be eligible for a one-time bonus. Only those employees who successfully complete all necessary competency-based criteria and who receive a performance evaluation of "exceeds" or "above average" will qualify for a bonus. In order to receive a promotion within a job series, employees must complete all necessary competency-based criteria and receive a performance evaluation of "satisfactory" or above.

CLIP bonuses or promotions awarded for eligible employees are tied to the fiscal year the CLIP review eligibility date occurs. Examples are:

Employee A's CLIP review dates	04-13-06 to 04-12-07
Employee A's CLIP eligibility date	04-13-07
Employee A's CLIP promotion can occur, if eligible	04-13-07
Employee A's CLIP bonus can occur, if eligible	during the month of June 2007 <u>(on or before 06-30-06)</u>

Employee B's CLIP review dates	07-01-05 to 06-30-06
Employee B's CLIP eligibility date	07-01-06
Employee B's CLIP promotion can occur, if eligible	07-01-06
Employee B's CLIP bonus can occur, if eligible	during the month of June 2007 <u>(on or before 06-30-07)</u>

CLIP bonuses for eligible employees are paid at the end of the fiscal year, following a review of salary savings and a determination by the DFA Director. CLIP promotions may occur on the eligibility date if the employee meets promotion criteria. CLIP packets for employees whose CLIP review dates end on or before June 30th, are due to the DFA HR by May 31st. This provides DFA HR time to review and enter CLIP data to determine the number of eligible employees, compute bonus amounts, calculate salary savings, enter employee information for payment and ensure promotions and bonus payments are awarded during the appropriate fiscal year.

Eligible employees who are in a Leave Without Pay (LWOP) or paid absence status for any qualified reason will be awarded a promotion or bonus upon return to work. The award of such CLIP bonus or promotion is subject to the employee's successful completion of any required criteria and shall be delayed beyond the date of eligibility for the same number of days that the employee was on leave without pay providing the employee has at least nine months of actual work performance within the CLIP review period.

The actual **performance evaluation** portion of the CLIP review is the most complex of the two main components and will be covered in detail later in the plan. The other CLIP criteria are much simpler and easier to implement.

B. ROLES IN THE DEPARTMENT OF FINANCE AND ADMINISTRATION

I. DFA Human Resources responsibilities are as follows:

- 1)** Define, and revise as necessary, the positions falling under CLIP 1 guidelines and their promotional paths.
- 2)** Define, and revise as necessary, the positions falling under CLIP 2 guidelines.
- 3)** Develop procedures for implementation of CLIP promotions and bonus payments for all employees whose classification is covered under CLIP 1 and CLIP 2 definitions. (See Attachments C & D for DFA's listing of CLIP 1 and CLIP 2 classifications and criteria.)
- 4)** Review proposed criteria for employees to ensure compliance with the intent of the DFA Administration.
- 5)** Provide periodic training to DFA supervisors regarding the CLIP plan, including information regarding competency-based criteria that employees must successfully complete to be eligible to receive CLIP promotions and bonus payments.
- 6)** Identify and dedicate funds from salary savings where available for CLIP promotions and bonus payments. Monitor expenditures for salary savings calculations, by office, for the fiscal year and determine available monies.
- 7)** Maintain a tracking mechanism for CLIP review dates for their employees
- 8)** Review established criteria and certify completion levels of the criteria for each employee. Based on the recommendations of management for CLIP promotions, percentage increases will be translated to actual dollars and compared to available monies. Based on the

recommendations of management for CLIP bonus payments, remaining salary savings monies will be reviewed and a determination regarding bonus payments will be made. CLIP promotions and bonus payments will be implemented based on the determination of the Chief Fiscal Officer of the State and the availability of funds in the agency.

II. DFA Supervisory Personnel responsibilities are as follows:

- 1) Maintain competency-based criteria for employees in CLIP 1 and CLIP 2 subject to approval by the Office of Personnel Management and the Arkansas Legislative Council by:
 - a) ensuring appropriate education and experience requirements for each classification are utilized.
 - b) assessing the current job standards for each position and revising if necessary.
 - c) formalizing existing on-the-job training (OJT includes classes taught by supervisory or management personnel, internal training officers, or by the DFA Inter-Agency Training Program) and other training requirements for classifications utilized within DFA and providing employees with reasonable opportunity to complete job-related training within the reference CLIP review period.
 - d) reviewing certification requirements for applicable classifications/positions.
 - e) identifying project participation for appropriate classifications/positions.
 - f) obtaining DFA Director approval for identified projects to be included in CLIP criteria.
 - g) identifying appropriate conduct and disciplinary standards
 - h) identifying additional competency-based criteria not previously defined.
- 2) Maintain a tracking mechanism for CLIP review dates for their employees.
- 3) Ensure that CLIP Reviews are completed and submitted to DFA Human Resources 30 days prior to the end of the CLIP Review Period.
- 4) Ensure subordinate supervisors apply the CLIP plan to their subordinates appropriately, and evaluate them accordingly.
- 5) Ensure continued development of competency-based criteria for each position.

III. DFA Employee responsibilities are as follows:

- 1) Strive to successfully complete the competency-based criteria established for the position, within the referenced CLIP review period.
- 2) Generally, employees eligible to receive a CLIP promotion will receive the promotion on their CLIP eligibility date. Employees eligible to receive a CLIP bonus must be employed with DFA in that same position on the last day of the pay period the bonus is awarded. In most cases, employees who receive a lateral transfer to a different position without a change in job duties should not experience a change in their CLIP review dates.
(SEE ATTACHMENT B)

C. APPEALS

Appeals of an individual's CLIP review results may be made under existing DFA guidelines for CLIP appeals and for grievances.

D. FUNDING

Funding for the DFA CLIP will be derived from the following sources:

1) Salary Savings

DFA will identify and dedicate salary savings where available to fund career ladder promotions and bonuses. Salary savings may be achieved by:

- a) leaving position(s) vacant and redistributing duties.
- b) refilling position(s) at a lower salary level or a lower level classification.

2) Reallocation of Resources

DFA may redirect efficiencies and savings in other budget categories such as travel, maintenance and operation, professional fees, etc., to fund CLIP promotions and bonus payments. In the event DFA needs additional regular salaries and/or matching line-item appropriation to utilize such savings, a request may be submitted to the DFA Office of Budget.

3) Merit Adjustment Fund

The Chief Fiscal Officer of the State may allocate monies from the Merit Adjustment Fund to agencies which have inadequate funding levels to ensure the fair and equitable award of promotions and salary adjustments to employees within those agencies. The Chief Fiscal Officer will allocate monies from the Merit Adjustment Fund only in the case of emergencies when the agency has taken all reasonable steps to obtain the funds from salary savings.

Within DFA, CLIP promotions and bonuses may not be awarded until successful criteria completion has been certified. Expenditures for salary savings calculations, by office, will be monitored throughout the fiscal year. The Chief Fiscal Officer of the State will determine if available monies will be awarded to eligible CLIP 1 and CLIP 2 (two levels) employees. It is the intent of DFA to utilize only options 1) and 2) above to fund CLIP.

E. CLIP POSITION UTILIZATION AND AUTHORIZATION

Positions budgeted and authorized by the Legislature at various levels within a Career Ladder series will be utilized for the purpose of promoting incumbent employees upon fulfillment of all necessary criteria. If an incumbent filling a CLIP position terminates and the position has been reclassified to the higher level within the career ladder series, the agency may then utilize the position to promote another incumbent who has met all necessary criteria or may fill the position at a lower level. The agency may **not** advertise and refill the position at the highest authorized level unless an approved waiver is attached.

F. SANCTIONS FOR NON-COMPLIANCE

The DFA Office of Human Resources may conduct periodic performance audits to ensure that DFA supervisors have properly completed, communicated, and documented subordinates' CLIP criteria and achievement of criteria. Violations will be reported to the DFA Director/Deputy Director. **Sanctions may include withdrawal of the supervisor's CLIP eligibility, in addition to other measures.**

G. DFA CLIP CRITERIA GUIDELINES

The Department of Finance and Administration has outlined the following information as a guideline to understanding the CLIP process. There are usually three people involved in this process.

The **employee (ratee)** – person being rated. The employee's performance evaluation is based upon how well established criteria set by the supervisor is met by the employee.

The **supervisor (rater)** - person who performs the following functions for one or more employees:

- Assigns work to the employee(s) and changes work assignments when needed.
- Reviews the work of the employee(s) and makes changes or returns work to the employee for revision, if needed.
- Recommends discipline, if needed.

- Handles complaints from the employee(s).

The **reviewing official** – person who supervises the supervisor (rater) or a higher level supervisor who has been designated as the reviewing official. He or she reviews the rating form at the beginning and end of the rating period.

DFA CLIP criteria is defined as job-related requirements, which must be successfully completed by employees for promotion or bonus eligibility. These CLIP criteria are: education and experience, certification, conduct, training, projects, supplemental requirements and performance evaluation.

GENERAL GUIDELINES

The following are general guidelines for completing and submitting CLIP on employees for bonus payment or promotion eligibility:

- All CLIP criteria is established by the supervisor (rater) of the employee (ratee).
- Arkansas law states that all employees must have his/her criteria set up no later than thirty days after beginning the review period.
- The CLIP Coordinator must approve all criteria prior to the employee signing the criteria.
- CLIP Criteria cannot be the same as PE standards. The point of CLIP is to reward employees for going above and beyond standard job duties.
- CLIP criteria can be amended during the rating period.
- Amended CLIP criteria should be dated and initialed by the reviewing official, supervisor and the employee.
- This change should occur on the original criteria form and be submitted to the CLIP Coordinator.

ADDITIONAL CLIP CRITERIA ELIGIBILITY REQUIREMENTS

Education and experience are criteria that are required for CLIP promotions and assumed met for bonus eligibility. The employee must meet education and experience requirements, as defined by the official class specification developed by the Office of Personnel Management, for his/her position, and demonstrate the ability to apply the knowledge, skills and abilities on the job.

Certification is the easiest of the criteria to understand. This criterion is only rated if there is a job requirement for either licensure or certification by law. Otherwise that criterion is not applicable (N/A). If certification or licensure is required, that will be shown as a Minimum Qualification on the OPM job description.

Conduct is a criterion required for both CLIP promotions and bonus eligibility. DFA utilizes its current policy on Conduct and Disciplinary Standards set by the agency. If the employee has a written or more serious notice of conduct violation, the employee is not eligible for either promotion or a bonus. Anything less than that, such as a verbal warning or counseling statement, may still allow the employee to qualify.

Training criterion may or may not be selected as a requirement. If it is selected, the employee will not be eligible for promotion or bonus unless the requirement is met or the rater has allowed the substitution of another training course, or the course required is no longer offered. Employees who

Director approved projects are rare requirements since they must be approved prior to the project's start and must be determined by the director to be successfully completed at the project's end.

H. DFA CLIP CRITERIA FORM

- Identifying information (employee name, current class code, title and grade, personnel and position numbers, business area, cost center, rater information, transaction information, etc.)
- CLIP review period
- Criteria - education, experience, certification, conduct, performance evaluation, training, special projects and supplemental requirements
- Requirements for bonus
- Requirements for promotion
- Signatures and dates
- Certification of employee meeting standards for bonus or promotion eligibility

<u>Employee Name</u>		<u>Current Class Code, Title and Grade</u>		<u>CLIP Criteria</u> <u>Transaction</u> <input type="checkbox"/> No Change <input type="checkbox"/> New Rating Period <input type="checkbox"/> Lateral without a change in job duties <input type="checkbox"/> Lateral with a change in job duties <input type="checkbox"/> Demotion <input type="checkbox"/> New Hire <input type="checkbox"/> Re-hire <input type="checkbox"/> Promotion
<u>Personnel #</u>	<u>AASIS Position #</u>	<u>Business Area</u>	<u>Cost Center</u>	
<u>Rater Name</u>	<u>Rater Title</u>			
<u>CLIP REVIEW PERIOD</u> From: _____ To: _____			<u>Rater Phone #</u>	

The next section of the CLIP criteria form which includes eligibility requirement information is shown below. The criteria section includes requirements for bonus or promotion. These areas should be defined by the supervisor for the employee according to the requirements of the position.

CRITERIA	REQUIREMENTS for BONUS	REQUIREMENTS for PROMOTION
1. Education		
2. Experience		
3. Certification		
4. Conduct	SATISFACTORY or BETTER	SATISFACTORY or BETTER
5. Perf Eval	ABOVE AVERAGE OR EXCEEDS	SATISFACTORY, ABOVE AVERAGE or EXCEEDS
6. Training--Must Be Specific!		
7. Projects--As Approved By The DFA Director		
8. Supplemental Requirements		

The signatures and dates at the bottom of the first criteria page are completed after the CLIP criteria has been approved by the DFA CLIP Coordinator. This will verify that the employee, supervisor and reviewing official are aware of the standards to be met during the review period.

Beginning of Review Period	Signature	Date
Employee:		
CLIP Rater:		
Reviewing Official:		

The second page of the CLIP criteria form is used to indicate whether or not the employee is being recommended for a bonus or a promotion. This form shown below, lists questions 1-5 which are to be answered by the supervisor for bonus consideration. The next section lists questions 6-13 to be answered by the supervisor for promotion consideration. The rater will sign and date the bottom section of the form verifying whether or not the employee met all criteria for a bonus or promotion. These forms along with the completed Performance Evaluation and supporting documentation are submitted to the DFA CLIP Coordinator for approval at least 30 days prior to the end of one CLIP review period.

_____ is being reviewed for ☐ Bonus OR ☐ Promotion.

BONUS	1. Employee's conduct during this rating period has been:	<input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Satisfactory or better
	2. Employee's Performance Evaluation score is: [attach evaluation and related documentation]	<input type="checkbox"/> Unsatisfactory [U] <input type="checkbox"/> Above Average [AA] <input type="checkbox"/> Satisfactory [S] <input type="checkbox"/> Exceeds [E]
	3. Employee has completed and demonstrated abilities related to the required training.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No [attach documentation] <input type="checkbox"/> None assigned.
	4. Employee has appropriately participated in director-approved project(s).	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No [attach documentation] <input type="checkbox"/> None assigned.
	5. Employee has satisfactorily completed supplemental requirements as assigned.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No [attach documentation] <input type="checkbox"/> None assigned.
PROMOTION	6. Employee has met the education requirements for the promotion, or has equivalent related experience.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No
	7. Employee has acquired the necessary related experience for the promotion.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No
	8. Employee has attained the necessary certification for the position, as required by state specifications.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No <input type="checkbox"/> None required
	9. Employee's conduct during this rating period has been:	<input type="checkbox"/> Unsatisfactory <input type="checkbox"/> Satisfactory or better
	10. Employee's Performance Evaluation score is: [attach evaluation and related documentation]	<input type="checkbox"/> Unsatisfactory [U] <input type="checkbox"/> Above Average [AA] <input type="checkbox"/> Satisfactory [S] <input type="checkbox"/> Exceeds [E]
	11. Employee has completed and demonstrated abilities related to the required training.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No [attach documentation] <input type="checkbox"/> None assigned.
	12. Employee has appropriately participated in director-approved project(s).	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No [attach documentation] <input type="checkbox"/> None assigned.
	13. Employee has satisfactorily completed supplemental requirements as assigned.	<input type="checkbox"/> Yes [attach documentation] <input type="checkbox"/> No [attach documentation] <input type="checkbox"/> None assigned.

I certify that this employee ☐ has ☐ has not met the requirements for CLIP incentive eligibility and has nine months of work performance within this rating period.

CLIP Rater's signature

Date

DFA PERFORMANCE EVALUATION GUIDELINES

The expressed purpose of any employee performance evaluation system is to judge how a person is performing on the job. Traditionally, and perhaps understandably, this makes both the person doing the rating and the person being rated uncomfortable. It is not easy to tell someone what they are doing wrong, and sometimes not easy to praise someone for what they are doing right or well.

The evaluation of performance, and related activities, can serve many purposes. In the Department of Finance and Administration (DFA), the performance evaluation (PE) process is designed to achieve the following:

- Provide an opportunity for the supervisor (rater) to define the purpose and duties of a job;
- Require the supervisor to determine if the level of performance exceeds, above average, satisfactory or unsatisfactory;
- Provide a venue for the supervisor to clearly convey these expectations to the employee (ratee);
- Encourage the flow of communication between the supervisor and employee;
- Allow the employee an opportunity to clarify duties and responsibilities;
- Present an opportunity for the employee to offer input into the structure and function of his/her duties;
- Supply a means for the recognition of above average and exceptional performance;
- Provide structure for identifying and correcting unacceptable performance behaviors;
- Help identify areas of disproportionate or unnecessary work flow.

With this in mind, employees and supervisors are encouraged to view PEs as an on-going, positive process, to be utilized for the benefit of all concerned. PEs will **never** be used as the first and only time to point out an employee's short-comings, but to document the overall result of a year spent working together to improve productivity, efficiency, and morale.

Over the years, various changes have occurred in the methods, score methodology, timeframes, and results associated with the evaluation of the performance of state employees. This Performance Evaluation Plan incorporates legislative, regulatory, systemic, and departmental changes.

GENERAL GUIDELINES

The following are general guidelines for a performance evaluation plan, issued by the Office of Personnel Management:

- Pursuant to §21-5-1001 of the Arkansas State Code, performance evaluations must be conducted annually.
- The rating supervisor, with input from the employee whenever possible, will set the standard for fully satisfactory (mid-level) performance at the beginning of the rating period, or not later than 30 days after the start of new duties.
- Standards must be developed from a list of critical job tasks and stated in terms of observable behavior.
- Standards must be clearly communicated and understood by the employee.
- Standards and completed performance evaluations must be reviewed and approved by the reviewing official (the supervisor's supervisor or other designated official).
- A written copy of the reviewed standards is to be given to the employee.

- If a supervisor (rater) is transferred to another section or terminates employment, PEs must be completed for those employees whose most recent evaluation was completed more than 90 days prior to the supervisor's termination date.
- If at any time during the evaluation period the supervisor determines that the employee's performance in one or more of the duty areas has fallen below an acceptable standard ("satisfactory"), the supervisor should immediately address those areas and counsel with the employee. This will allow the employee an opportunity to improve in unacceptable areas before the end of the rating period.
- If at any time during the evaluation period the supervisor determines that the employee's overall performance has fallen below an acceptable standard ("satisfactory"), the supervisor should immediately place the employee on probation, address those areas and counsel with the employee. The probation period will not exceed 90 calendar days initially. The supervisor should maintain consistent monitoring, counseling and give clear expectations of the employee's performance during the probation period. If the employee's overall performance improves during the probation period but not to the level of satisfactory standards by the end of the probationary period, the rater can extend, but is not required to extend, the probationary period for an additional timeframe not to exceed 30 calendar days. If the employee does not exhibit performance improvement to the satisfactory level at the end of the second probationary period, the employee will be subject to a demotion, transfer, reassignment or termination.
- If an employee is placed on probation, the terms and conditions of the probation should be documented and a copy placed in the employee's personnel file in DFA Human Resources. If the employee's performance improves and the probation period is ended, written documentation of the probation results should be placed in the employee's personnel file in DFA Human Resources.
- Employees are allowed to make a formal request for reconsideration of their performance evaluation rating. Employees should always receive a copy of the completed and signed CLIP Rating package.

I. THE PERFORMANCE EVALUATION RATING FORM

The rating form used by DFA consists of the following elements:

- Identifying Information (employee name, position number, personnel number, rater, etc.)
- Description of "Relative Importance Scale" and "Performance Category Rating Scale"
- Duty Area Summary and Overall Performance Evaluation Rating
- Standards, Results, and Rating page (as many as needed)
- Signatures and Comments page

The accurate completion of the identifying information is crucial to the proper processing of an employee's evaluation. Care will be taken to ensure correct information is provided, including the AASIS-assigned position number and cost center.

The **Performance Category Rating** is an alpha value, **E**, **AA**, **S**, or **U**, assigned to each standard, as well as to the overall performance of the employee. These values are described below:

Category	Result(s)
E = Exceeds OR AA= Above Average	Employee eligible for incentive pay award up to 8% (actual award is at the discretion of the Chief Fiscal Officer of the State); Eligible for CLIP promotion
S = Satisfactory	Not eligible for incentive pay awards; Eligible for CLIP promotion
U = Unsatisfactory	Not eligible for incentive pay awards; Not eligible for CLIP promotion; Employee placed on probation

Each standard is weighted, as reflected by the **Relative Importance Scale**. The weight is an alpha value, **A**, **B**, or **C**, assigned to each standard indicating its relative importance and/or amount of time.

The **Summary** section includes the Duty Area Number, Duty Area Summary, Relative Importance Scale, Duty Area Rating, and Overall Performance Evaluation Rating.

Standards, Results, and Rating page includes, in addition to specific identifying information, the Duty Area Number(s); a listing and description of the Duty Area(s); a description of the Performance Standard(s); the Method(s) of Monitoring [MOM]; the Results; the Relative Importance indicator(s); and the Duty Area Rating(s). Raters may use as many of these pages as necessary to document the Duty Areas.

The **Signatures and Comments page** is used: (1) at the beginning of the rating period to document that the supervisor, employee, and reviewing official are aware of the expectations of the employee's CLIP requirements; and (2) at the end of the rating period to document that all parties are aware of the evaluation results. It also provides a place for the employee to comment on the results (optional).
(SEE ATTACHMENT G)

J. DFA CLIP POLICIES AND PROCEDURES

The following are detailed and/or additional guidelines for the DFA Plan:

Implementation and Rating Timeframes

All CLIP criteria are to be established at the beginning of an evaluation period, or not later than 30 days after the beginning of the new CLIP rating period. These CLIP criteria and performance evaluation standards are to be submitted to the CLIP coordinator for approval at the beginning of the rating period. The Rater and Employee will agree to all CLIP criteria defined and the PE standards, measures, methods of monitoring, and each standard's relative importance for the subsequent rating period. The Employee, Rater, and Reviewing Official will sign and date the first page of the criteria form and the top portion of the rating form signature page.

If CLIP criteria needs to be revised during the rating period due to new or additional requirements, the revisions will be made and discussed with the employee within 30 days of the start of new requirements. The changes or additions must be initialed by all parties involved.

In order to establish or revise performance standards appropriately, the rater may utilize the Standard Definition Work Sheet to define the tasks, group the tasks into duty areas, and identify performance indicators.

During the evaluation period, the rater will monitor and discuss performance and other defined CLIP criteria with the employee and maintain documentation. If performance falls below the satisfactory level at any time during the course of the review period in one or more duty areas, the areas of unsatisfactory performance will be immediately identified and the employee must be counseled. The supervisor should continue to monitor the employee to ensure that performance improves. If the overall performance of an employee falls below the satisfactory level the employee will be placed in a probationary period not to exceed 90 calendar days. The supervisor will monitor and counsel with the employee. If the employee's overall performance improves during the probation period but not to the level of satisfactory standards by the end of the probationary period, the rater can extend, but is not required to extend, the probationary period for an additional timeframe not to exceed 30 calendar

days. Within this timeframe, clear expectations and results of employee performance will be discussed and monitored. If no improvement has been made at the end the second probationary period, then the employee will be terminated, demoted, transferred or reassigned duties where the employee may be reasonably expected to meet performance standards.

Beginning July 1, 2000, the CLIP rating period is determined by the employee's latest hire date, or CLIP, in-position or competitive promotion, demotion or lateral transfer with job duty changes.

Employees who have not changed positions since July 2000 (exceptions allowed due to lateral transfers with no job duty change) will have a CLIP rating period of 06-01 through 05-31. All other CLIP review dates will be determined by the start date in the position.

The CLIP package, including CLIP review and PE, must be submitted to the prospective CLIP liaison at least 30 days following the beginning of the review period for approval by DFA Human Resources. At least 30 days prior to the end of the CLIP review period (and not more than 60 days), the CLIP packet, along with supporting documentation, must be submitted to the prospective DFA CLIP liaison.

The CLIP liaison will then forward the information to DFA Human Resources for complete review and approval. All revisions made to the CLIP package must be initialed and dated by the employee, rater and reviewing official and submitted through the CLIP liaison to DFA HR.

During the rating period, the rater will compile and review the employee's accomplishments and performance documentation, write results statements in the appropriate area on the rating form, and evaluate performance using the Rating Scale definitions on page 1 of the rating form.

At least 30 days prior to, but no more than 60 days before the end of the rating period, the rater and employee will meet to review and discuss the CLIP evaluation. The employee, rater, and reviewing official will sign and date the bottom portion of the CLIP criteria and PE signature pages. If the employee does not agree with the CLIP results, she/he may utilize the CLIP Appeal Process.

All employee CLIP packages with an ending date on or before June 30th of each year are due no later than May 31st to DFA-HR for review and processing. Depending on the date required to process bonus payments, the due date may be earlier.

NOTE: It is strongly recommended that the rater review the entire CLIP package, including the performance evaluation results and documentation, with the reviewing official prior to the rater's meeting with the employee.

K. CLIP APPEAL PROCESS

Employees will make a formal request for reconsideration of their CLIP evaluation ratings utilizing the following process:

STEP 1: An employee who does not agree with the evaluation may request, in writing, a review of the evaluation with the reviewing official. This written request must be made within five working days of the initial performance evaluation meeting between the rater and the employee. The reviewing official will schedule a meeting with the employee within two weeks of receipt of the request from the employee. The reviewing official may also meet with the rater during the same two week period. Upon meeting with the employee, the reviewing official will respond in writing within three business days to the employee's request.

STEP 2: If agreement is not reached between the employee and reviewing official, the employee will request, in writing, a meeting with the administrator (if the administrator is not the reviewing official). The written request by the employee must be made within five working days from the date of the reviewing official's response. The administrator will schedule a meeting with the employee within two weeks of the receipt of the request from the employee. The administrator may meet with the rater and the reviewing official during the same two week period. The administrator will then respond in writing to the employee's request within three business days following the meeting with the employee.

STEP 3: If agreement is still not reached, the employee will request in writing within five business days from the date of the administrator's response, a meeting with the DFA Human Resource Manager. The DFA Human Resources Manager may meet with the employee, rater, reviewing official and/or administrator (if not the reviewing official). The DFA Human Resource Manager, along with the Assistant Revenue Commissioner for Administration and Operations (Revenue Division) or the DFA Deputy Director (all other DFA appeals) will analyze the information and present the findings within fifteen days of the appeal request and prepare a summary of the findings and a determination. This will be submitted to the DFA Director, the employee and all other management levels involved in the appeals process.

STEP 4: If the employee is not satisfied, s/he may appeal to the DFA Director in writing within ten business days of the date of the summary and determination from the DFA Human Resources Manager and Assistant Revenue Commissioner or DFA Deputy Director.

STEP 5: The DFA Director will make a determination regarding disposition of the review within thirty business days. The DFA Director may meet with the employee and/or all levels of management involved if necessary. The decision of the DFA Director is final and binding.

In most cases, the employee will use the CLIP Appeal Process providing that the review is valid and presented within the rating period in question; however, an employee may utilize the DFA EEO/Grievance Procedure regarding CLIP evaluations if the basis of the complaint is unlawful discrimination or the evaluation leads to disciplinary action.

L. CLIP PERFORMANCE EVALUATION METHODOLOGY

Who takes part in performance evaluation process?

- Employee (Ratee)
- Supervisor (Rater)
- Reviewing Official

Definitions:

- Employee (ratee) - the person being rated. The rating is determined by comparing how well he or she performs his or her job to established standards.
- Supervisor (rater) - the person who performs the following functions for one or more employees:
 - ✓ assigns work to the employee(s) and changes work assignments when needed.
 - ✓ reviews the work of the employee(s) and makes changes or returns work to the employee for revision, if needed.
 - ✓ recommends discipline, if needed.
 - ✓ handles complaints from the employee(s).
- Reviewing Official - the person who supervises the supervisor (rater) or a higher level supervisor who has been designated as the reviewing official. He or she reviews the rating form once completed for accuracy and fairness prior to meeting between the employee (ratee) and the supervisor (rater) regarding job performance.

ADMINISTRATIVE GUIDELINES

The user agency must establish rules and procedures to assure the effective use and implementation of the performance evaluation plan. The minimum administrative systems are listed below:

1. The user organization must monitor the use of the plan.

DFA has designated the CLIP Coordinator to monitor and track CLIP reviews and performance evaluations. The CLIP Coordinator ensures that proper documentation of CLIP Plans is submitted at the beginning and end of an employee's rating period. The CLIP Coordinator produces reports showing statistics of employee ratings by divisions and submits them to the DFA Director for review. The CLIP Coordinator is also responsible for:

- A. Monitoring the distribution of ratings.
- B. Reviewing cumulative ratings of individual raters periodically to determine whether or not an unusual pattern of rating exists. If a rater's evaluations are either consistently high or low, or if a pattern of differences between groups of employees is apparent, the rater and his/her reviewing supervisor will be counseled to determine the reason for the unusual pattern. If a problem exists, corrective action will be implemented immediately.
- C. Monitoring standards used to rate individual employees and may establish uniform standards for groups of jobs where there is substantial similarity among them, and this similarity can be demonstrated.

2. The user organization must ensure annual evaluation.

DFA has determined that CLIP evaluations will be conducted annually based on a 12-month rating period. If interim evaluation periods are implemented, the interim evaluations must be considered in the annual evaluation. The DFA OAS HR section will conduct periodic performance audits to ensure that DFA supervisors are properly completing and documenting employee CLIP criteria and successful achievement of the criteria. Supervisors who fail to complete these tasks are subject to withdrawal of their CLIP eligibility, in addition to other measures.

3. It is advisable that the user organization designate raters.

DFA has designated supervisors (raters) to develop and evaluate CLIP criteria for employees. Supervisors will submit CLIP evaluations to CLIP Liaisons at the beginning and end of the appropriate review period for each DFA employee. Raters must meet these requirements:

- A. Raters must be aware of the objective of each job performed by employees whom they evaluate.
- B. Raters must be in a position that allows them to be frequent observers of employee behavior on the job.
- C. Raters must have the ability to determine whether or not employee performance meets the criteria established for the job.
- D. Raters must be trained in the purpose(s) of the CLIP evaluation system and the procedure to be followed in administering the system.

4. It is advisable that the user organization implement appeals procedures.

DFA has established a CLIP evaluation appeal process that is accessible to each DFA employee. This is a five step process which gives specific instructions regarding who to contact and when. In the event that the appeal is based on unlawful discrimination or the evaluation leads to disciplinary action the employee may utilize the DFA EEO/Grievance Procedure.

5. It is advisable that the user organization establish probationary procedures.

DFA has established uniform probationary procedures for performance related issues. They will not exceed 90 calendar days initially. These procedures outline specific instructions on how to implement monitoring and counseling with the employee. The procedures also address monitoring employee performance before the end the CLIP review period. During the probation period, the employee will be monitored and counseled. Also expectations of the employee's performance during the probation period will be made clear. DFA will allow one additional probationary period to employees who show marked improvement, but who are still not meeting standards, not to exceed 30 calendar days. Those who have exhausted their probationary allowances will be terminated or, in certain cases, demoted, transferred or reassigned to another job where they may be reasonably expected to meet performance standards.

6. It is advisable that the user organization make provision for rater training.

DFA has established yearly CLIP training for supervisors. The trainings are facilitated by the CLIP Coordinator. This training includes providing the rater with current CLIP Plan information as well as additional training and information disseminated by CLIP Liaisons.

7. It is advisable that the user organization ensure that all employees receive full information.

DFA has provided each employee with a copy of the policy and procedures regarding the CLIP program. This information was initially given to the rater to disseminate among the employees. Each new DFA employee is briefly introduced to the CLIP program during orientation and is then provided more specific information related to the employee and his/her position by the supervisor.

8. The user organization may seek technical assistance from the Office of Personnel Management.

DFA remains in constant contact with the Office of Personnel Management regarding changes to the CLIP Plan. The Office of Personnel Management provides technical assistance in monitoring the program. Each year the DFA CLIP Plan is reviewed for policy changes and program effectiveness.

Changes made are submitted to the Office of Personnel Management for review and approval.

THE LEVELS OF RESPONSIBILITIES

- A. The DFA Director is responsible for ensuring that proper CLIP plans are developed and approved in advance of the rating, that approved ratings are signed, that the program is effectively carried out, and that employees are informed of the appraisal process and the manner in which it operates.
- B. Supervisors are responsible for the day-to-day operation of the CLIP evaluation system in their work areas. They will ensure that all employees are given a full explanation of the importance of the system and the principal items in the employee's CLIP rating plan, the rating levels used, the significance of their use and the appeal rights of employees.
- C. Reviewing officials are responsible for ensuring that appropriate CLIP criteria are in place for the position(s) his/her subordinate supervisor(s) supervise, and that the forms are signed and dated as needed. They are also an integral part of trying to resolve any appeals filed between the supervisor(s) and employee(s).
- D. The DFA CLIP Coordinator is responsible for monitoring the progress of the CLIP evaluation program and evaluating its effectiveness. The CLIP Coordinator will ensure that training is provided to supervisors so that they can effectively use the program in managing their workforce. The CLIP Coordinator will also ensure that the original copy of the annual CLIP evaluation is appropriately filed in the employee's performance folder.
- E. The Office of Administrative Services is responsible for reporting to the director on various aspects of the CLIP program. These aspects might include monitoring the performance evaluation ratings, assuring adherence to the evaluation process, assuring consistency among raters, assuring the adequacy of standards and the establishment of uniform standards, and the appropriateness of other CLIP criteria.

PERFORMANCE EVALUATION STANDARDS DEVELOPMENT

In the planning/implementation stage the supervisor and employee discuss the standards that will be used to evaluate the employee's performance throughout the performance cycle.

STEP 1: *Identify Job Tasks*

To ensure that performance standards are job related, you must first analyze the job by breaking it down into its smallest components, called job tasks. The task statement is usually a brief description of an activity. It tells *what* is to be done, not *how* it is done. It is usually an action verb and object.

Example:

Job Title	Job Tasks
Personnel Analyst	<ul style="list-style-type: none">➤ Conducts Job Audits➤ Writes Job Descriptions➤ Develops Knowledge, Skills, and Abilities (KSAs), and Minimum Qualifications (MQs)➤ Makes Classification Recommendations➤ Develops and Conducts Training Programs➤ Researches Compensation Methods➤ Conducts and Compiles Salary Surveys

IMPORTANT: Be sure to include all job tasks for a ratee (employee). The Office of Personnel

Management recommends discussing these tasks with the employees themselves. Accurate information is crucial to achieving success at this and other stages of the performance evaluation process.

STEP 2: *Identify Duty Areas*

As you complete your list of tasks, you will probably notice that the tasks begin to group themselves into areas with a common theme. For example, tasks dealing with decision-making may stand out. As you identify the duty areas of the position, you will also see that you are defining the major responsibilities of the position. Duty areas are the reason a position exists.

It may be more comfortable for you as a supervisor to begin the process at this step than at Step 1. Please, if you begin by identifying duty areas, do not forget Step 1. If you conscientiously make a list of all of the tasks which comprise each duty area, you may find that one of the tasks listed is really important enough to be another duty area.

If you have identified more than six key duty areas, you may have defined the job too narrowly. If there are fewer than three duty areas you may have defined the job too broadly.

Example:

Job Title	Job Tasks	Duty Areas
Personnel Analyst	Conducts Job Audits Writes Job Descriptions Develops KSAs and MQs Makes Classification Recs	Performs Job Analysis
	Develops and Conducts Training Programs Researches Compensation Methods Conducts and Compiles Salary Surveys	Conducts Special Projects

STEP 3: *Identify Performance Indicators*

Performance indicators provide a link between the general duty and the specific performance standard. It is a general description of what defines successful performance of the duty area but lacks

a quantitative or qualitative description of the level of acceptable performance. A performance indicator may be one or two words, usually an adverb that describes what is important in performance

of the duty area, or it may be a statement that describes what is to be done.

Example:

DUTY AREA ("What?")	PERFORMANCE INDICATORS ("How?")
Performs Job Analysis	Quickly According to directions Properly Thoroughly
Conducts Special Projects	On time Correctly Professionally

IMPORTANT: Performance indicators are optional in some agencies. However, the Office of

Personnel Management recommends the use of indicators so the rater can bridge the gap between the duty area (what is to be done) and the next step: the performance standard (how it is to be done).

STEP 4: *Identify Performance Standards*

The performance standard describes in specific detail what is considered the satisfactory level of performance. This description allows the rater to identify when an employee exceeds the standard or performs below the acceptable level of performance.

Most duty areas will have one to three standards. Keep in mind that standards and performance indicators are written for duty areas and not for each task. The important thing to remember is that the standards will reflect the results that are expected in performance of the duty area.

The Arkansas Performance Evaluation Plan uses a four-level range of performance categories to rate the employee's actual performance against the expected performance as stated in the standards. The range is shown in this manual and on the rating forms.

Although you are required to write standards only for the "satisfactory" level, if you have trouble determining what that level is, consider writing the standards for the "exceeds", "above average" and "unsatisfactory" levels as well. This will help you identify and communicate your expectations for each level. It will also be helpful in explaining what the employee must do to exceed the fully satisfactory level. In addition, it will be easier to apply the rating scale to the employee's performance at the end of the evaluation cycle.

A performance standard will be:

- measurable and observable
- realistic in terms of the job
- within the employee's control
- expressed in terms of expected results

Standards can be expressed in terms of specific quantities, such as numbers or percentages, or quality measures that include accuracy, judgment, or opinion ratings. If percentages are used, it is important to identify the total universe from which they are chosen, and the field will be large enough to provide an adequate sample of work performance. If a standard can be written with both a quantitative and qualitative measure, it will enable you to obtain a better overall measure of the employee's performance.

A performance standard is composed of three parts:

1. An activity statement that tells what is to be done. If there are guidelines or procedures that cover the activities that are to be performed, the activity statement can refer to them, or the specific tasks can be included in the statement.
2. A qualifier that describes the fully satisfactory level of performance. This is what the rater will use to compare the employee's actual performance against the expected performance.
3. A method of monitoring (MOM) that refers to how and how often the rater plans to observe the employee's work performance. The MOM is used to record the necessary documentation that will be used to determine an overall score at the end of the evaluation period. In order to effectively monitor the employee's work performance, the rater must have a method that is both appropriate and feasible. The intent of this step is not to increase paperwork. In most cases a MOM already exists that can be used to determine how well the employee is performing his or

her duties. Monitoring may be conducted on a random or periodic basis. If random monitoring is chosen, be sure to observe work performance over the entire evaluation period. Do not check performance just at the beginning of the evaluation cycle and fail to check performance the remainder the period. The important thing to remember is that a supervisor cannot wait until the end of the performance evaluation cycle to correct problems. By monitoring performance problems can be identified and the employee can get back on track quickly. Monitoring also helps the rater to reinforce good performance when it occurs

Types of MOMs include:

- a. Reviewing work, either total output or sample.
- b. Observing employee work activities.
- c. Reading reports, charts, timesheets, work records, logs, etc.
- d. Self-reporting on progress by the employee.
- e. Surveying other units, the public, or customers or services.
- f. Noting and investigating complaints and commendations.

JOB STANDARDS WITH A "MEASURE" OR QUALIFIER

The following are examples of "qualifying" sentences. They are not job standards - yet. But a task statement coupled with one of these "qualifier" sentences will make an acceptable job standard. These qualifier statements are simply performance indicators written in a more concrete and quantifiable way. For example, a performance indicator of "accurately" may translate to a "qualifier" of with no more than X errors per report.

Example:

Task Statement: "Provides technical assistance and advice to agency contacts on accounting policy and procedure."

Add: "Supervisor receives five or fewer valid, documented complaints per quarter."

The second sentence or "qualifier" adds a gauge ("five or fewer complaints"), a timeframe ("per quarter") and the idea of accuracy. The second sentence, in essence, is part of the supervisor's "measuring tool".

Examples of "Qualifiers" Indicating *Accuracy/Quality*:

"Supervisor receives X or fewer valid, documented complaints per _____ (month, quarter, etc.)."

"Supervisor notes X or fewer errors per _____ (month, quarter, etc.)."

"The final work product is completed according to instruction with X or fewer resubmissions."

"Materials are prepared according to _____ (accepted, specified, established, etc.) _____ (guidelines, policies, criteria, instructions, etc.)."

Example of "Qualifier" Indicating *Rate*:

"Processed X number of _____ (words, numbers, documents, etc.) per (minute, day, week, etc.)."

EXAMPLES OF PERFORMANCE STANDARDS

TITLE	DUTY AREA	PERFORMANCE STANDARD
Personnel Analyst	Performs Job Analysis	<p>Completes 85% of all assigned analysis duties within established deadlines.</p> <p>MOM – Random work review. Monthly progress reports.</p>

In some cases, it may be necessary to write two or three standards for a single duty area. This is usually due to the diversity of the job tasks within the duty area.

TITLE	DUTY AREA	PERFORMANCE STANDARD
Personnel Analyst	Conducts Special Projects	<p>Develops and conducts training programs according to office policies and procedures with no more than two valid, documented complaints per rating period.</p> <p>MOM – Review of complaints and commendations.</p>
	Conducts Special Projects	<p>Conducts and compiles salary surveys according to office policies and procedures and supervisory instructions with no more than three errors/missed deadlines per rating period.</p> <p>MOM - Random work review. Monthly progress reports.</p>

RELATIVE IMPORTANCE

Assign an alpha value to each standard utilizing the following Relative Importance Scale:

- A. This function represents the major reason the job exists. It is critical to the performance of the job as a whole and to the accomplishment of department and work unit priorities. In most cases, this function consumes the majority of the employee's time.
- B. This function is essential to the performance of the job as a whole and to the accomplishment of department and work unit priorities. In most cases, this duty will consume a great deal of the employee's time.
- C. This function is important to the performance of the job as a whole and to the accomplishment of department and work unit priorities. However, this duty will not generally consume a great amount of the employee's time.

MONITORING/DOCUMENTATION

Throughout the evaluation period, the rater will review the employee's work performance according to the MOMs identified in the performance standards. Since monitoring provides the data by which overall performance is rated, the rater would document the results, then at the end of the evaluation period review the documentation and make an overall evaluation of the employee's performance. The

notes are usually kept in the "employee file". The file will contain information that is crucial to job performance and the information will describe performance which meets, exceeds, or falls short of the satisfactory level.

Following are some guidelines for using the employee file:

1. Be consistent. Keep documentation on **all** employees, not on just a select few. Document similar situations on all employees.
2. Document activities, not attitudes. Write down actual behavior observed, not how you feel about it.
3. Make the file accessible but confidential. Allow your employees access to their individual file but maintain confidentiality from other employees.
4. Document incidents that describe all levels of performance. Ensure that all noteworthy activities are documented to give you a complete picture of the employee's performance, both exceptional and unsatisfactory.
5. Be timely. Record and discuss the activity as soon as possible after the occurrence.
6. Be accurate. Record only the facts; do not include hearsay information or rely on your memory. Do not include opinions. Do not put down what you hear in the coffee room.
7. Review. Review the incident documentation prior to the actual performance evaluation.
8. Do not carry over employee information from one evaluation cycle to another. In other words, rate your employees on current information, not on notes from past evaluation periods.
9. Maintain your file. File documentation that affects a personnel action must be maintained for several years: at least three and sometimes five years. Some class action suits require information that goes back seven years.
10. A word to the wise from the Attorney General's Office: OVERDOCUMENT. Keep more than what seems necessary and all information concerning salary and personnel decisions. If an employee transfers or leaves state government, pack up the file and send to the DFA Human Resources office or just keep in your inactive file for three to seven years.
11. You are encouraged to maintain two files: the official file located in the DFA Human Resources office, and a day-by-day supervisor's file for job performance purposes. However, if an incident is to be mentioned in both, be sure they are consistent with each other. Legally, the supervisor's file is considered a part of the official personnel file.
12. Do not keep files from the employee. Files must be made available for employee review.
13. It is recommended that you have the employee to sign the file notes (complaints, written warnings, etc).
14. This is not a "Gotcha!" system. Make sure your documentation reflects the complete picture of an employee's performance. If not, you may find yourself trying to defend yourself against accusations of "case-building" on certain employees.
15. Support documentation will include specific incidents, instances, and work samples,

commendation and complaint letters, noteworthy occurrences, certificates of completion from training programs, and certificates of achievement and merit.

M. ATTACHMENTS

Attachment A: Program Plan

Attachment B: Employee Fact Sheet

Attachment C: OPM Career Ladder Series (CLIP 1)

Attachment D: DFA Career Ladder Series

Attachment E: Miscellaneous Titles (CLIP 2)

Attachment F: Conduct and Disciplinary Policy

Attachment G: CLIP Criteria/Review Forms

Attachment H: DFA Director Approved CLIP Projects for FY07